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Approved for use through 10. U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. 09/888,309 Applicati n Number TRANSMITTAL 21 June 2001 **Filing Date FORM** Melissa K. Carpenter **First Named Inventor** (to be used for all correspondence after initial filing) Group Art Unit 1632 Thaian N. Ton **Examiner Name** 090/002 Total Number of Pages in This Submission Attorney Docket Number **ENCLOSURES** (check all that apply) After Allowance Communication Assignment Papers Fee Transmittal Form (for an Application) to Group Appeal Communication to Board Fee Attached Drawing(s) of Appeals and Interferences Appeal Communication to Group Licensing-related Papers Amendment / Reply (Appeal Notice, Brief, Reply Brief) Petition After Final Proprietary Information Petition to Convert to a Affidavits/declaration(s) **Provisional Application** Status Letter Power of Attorney, Revocation Change of Correspondence Address Other Enclosure(s) (please Extension of Time Request identify below): **Terminal Disclaimer** PTO Form 1449; References (3) **Express Abandonment Request** Request for Refund Information Disclosure Statement CD, Number of CD(s) Certified Copy of Priority Document(s) Remarks Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm J. Michael Schiff, Registration No. 40,253 Individual name Signature Date January 18, 2002 CERTIFICATE OF HAND DELIVERY I hereby certify that this correspondence is being delivered by hand to the U.S. Patent Office in accord<u>ance with 37 CFR 1.6(b),</u> addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on this date:

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I hereby certify that this correspondence is being delivered by hand to the U.S. Patent Office in accordance with 37 CFR § 1.6(b), addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated.

Náme

Date

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of: Carpenter et al.

Serial No.: 09/888,309

Filing Date: June 21, 2001

For: DIRECT DIFFERENTIATION OF HUMAN

PLURIPOTENT STEM CELLS AND

CHARACTERIZATION OF DIFFERENTIATED

**CELLS** 

Art Unit: 1632

Examiner: Ton, Thaian N.

PH 2: 45

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents Washington, D.C. 20231

## Dear Sir:

The information listed in the accompanying form PTO-1449 and provided herewith may be material to examination of this application and is submitted in compliance with the duty of disclosure under 37 CFR § 1.56. The Examiner is requested to make this information of record in the application.

PATENT Serial No.09/888,309

Docket: 090/002

This Information Disclosure Statement is not to be construed as a representation that a full search for relevant information has been made, that all relevant information has been found, or that the information provided with this Statement is considered to be material to patentability

of the claimed invention as defined under 37 CFR § 1.56(b).

It is believed that no fee is required for submission of this Statement, which is filed before the first Office Action on the merits of the application. Nevertheless, should a fee be required for consideration of this Statement and the listed information, the Assistant Commissioner is authorized to charge such fee to Deposit Account No. 07-1139, referencing the attorney Docket Number indicated above.

Respectfully submitted,

J. Michael Schiff

Registration No. 40,253

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DATE: January 19, 2002

Form 1449 (modified)

Inf rmati n Disclosur Stat ment By Applicant

(Use Several Sheets if Necessary)

Docket: 090/002 Supplemental

U.S.S.N. 09/888,309

Title: Direct Differentiation of Human Pluripotent Stem Cells and Characterization of

Differentiated Cells

Inventors: Melissa K. Carpenter, Walter D. Funk, R. Scott Theis

Filing Date: June 21, 2001

Group: 1632

#### **U.S. Patent Documents**

	Examiner Initial	Ref.	Patent No.	Filing Date	Issue Date	Class/ Subclass	Inventors:	Title:
ſ	(none)							

### Foreign Patent or Published Foreign Patent Application

Γ	Examiner Initial	Ref.	Document No.	Publ. Date	Juris- diction	Title:	Translation	
ı							Yes	No
Ī								
1	(none)							

#### Other Documents

Examiner Initial	Ref.	Author, Title, Date, Source			
	DA	Lamb, T.M., et al., Neural Induction by the Secreted Polypeptide Noggin, Science 262:713 (1993)			
	DB	Lim, D.A., et al., Noggin Antagonizes BMP Signaling to Create a Niche for Adult Neurogenesis, Neuron 27:713 (2000)			
	DC	Sasal, Y., et al., Regulation of Neural Induction by the Chd and Bmp-4 Antagonistic Patturning Signals in Zenopus, Nature 376:333 (1995)			

Examiner	Date Considered